

# Electronic Thesis/Dissertation Preparation Manual



## NAVAL POSTGRADUATE SCHOOL

Monterey, California

Prepared By:  
Thesis Processing Office  
Office of the Associate Provost and Dean of Research

5 February 2004

## FOREWORD

This Thesis Preparation Manual has been written to provide you with format and procedure guidance for preparing and processing your electronic thesis/dissertation at the Naval Postgraduate School. It covers both unclassified and classified theses. All theses and thesis technical reports must be prepared in accordance with these guidelines. Please note that this manual is ***not*** written in the thesis format.

If you have any questions or doubts about anything, please call the Thesis Processor at (831) 656-2762 or (831) 656-2273 or email [thesisprocessor@nps.navy.mil](mailto:thesisprocessor@nps.navy.mil) *before* proceeding. Your question may save you from the inconvenience of retyping.

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## I. GETTING STARTED

Writing your thesis is a major undertaking. You have successfully chosen a topic, consulted your thesis advisor, performed the work prescribed, and now you are ready to sit down and write your results. This manual will provide you with information about the mechanical aspects of your thesis preparation – the required margins, the formatting of reference citations and reference lists, the required documentation, and a myriad of other details.

Equally important however, is the intellectual work that you must do on your own to organize your material, to cull the important aspects and discard the unimportant, to convert your random thoughts into lucid, coherent prose to allow the reader to capture the essence of your accomplishments, to follow your investigation, and to comprehend the impact of the results. This part of the thesis you must do yourself, with the assistance of your advisor(s). Do not underestimate the time that this organization and conversion into written form will take. It is often the most difficult part of the thesis to do well.

### A. BEFORE YOU BEGIN

**What kind of a thesis are you writing?** Before beginning consult with your advisor to determine what type of thesis you will be writing.

- **Classified or unclassified?** Whether a thesis is classified or unclassified is a fairly obvious choice. If your thesis is classified, be sure to read Chapter VII. If your thesis is unclassified, read Chapters I through VI.
- **Limited Distribution?** Some theses contain information that requires limited distribution to control who may have access to the thesis. The Thesis Release form with distribution statements can be found on the Electronic Thesis/Dissertation (ETD) website. Whether the thesis will be given unlimited distribution or limited distribution will often affect the handling of the material as you write. **Make sure you discuss this with your advisor.**  
<http://web.nps.navy.mil/~code09/research1.html>
- **NPS Thesis Technical Report?** This type of thesis is used to report meaningful research results to the research sponsor and other interested parties. Your advisor will determine if your thesis should appear as a Thesis Technical Report. If so, please see Chapter VIII.

**PhD Dissertation?** The format of a PhD dissertation is much the same as a thesis. However, the cover pages and signature pages are different. See Chapter IX.

- **Thesis Template?** Your thesis is to be typed in MS Word. A template workshop is held quarterly. It is not mandatory to use the thesis template but standard format must be followed. More information can be found at <http://web.nps.navy.mil/~code09/wordworkshop.doc>

**Are you using a thesis typist?** Some students prepare their own thesis; other have willing(?) spouses or other acquaintances prepare their thesis. International Students are currently the only students reimbursed at the Naval Postgraduate School for thesis formatting and/or editing. The rate of reimbursement is \$3.50 per full page for editing and \$1.50 per full page for formatting to the following maximum amounts:

**Editing:           \$400.00 for Master's Thesis**  
**\$600.00 for Dissertation**

**Formatting:   \$200.00 for Master's Thesis**  
**\$400.00 for Dissertation**

You *may not* be reimbursed when your spouse is the typist. The official page count and Standard Form 1164 (Claim for Reimbursement for thesis typing) is done by the Thesis Processor when the final PDF version of your thesis is submitted.

Regardless of whether the typist is paid or unpaid, be *sure* that he/she has a copy of this manual for reference! It is much easier to prepare your thesis properly from the onset than to go back and make corrections afterwards. The thesis typists, whose names are on file with the Thesis Processor, have been provided a copy of the thesis procedures and have been briefed about thesis format. When engaging a typist for an unclassified thesis, you should thoroughly discuss and understand all charges that you will be paying in connection with your thesis. Determine exactly what the typist's charges include, and if there are any additional charges for unusual or extra work. The charge for typing equations, mathematical expressions, complicated or extensive tables or any other unusual material must be arranged between the thesis student and the typist prior to typing. It is a good idea to have a contract between you and your editor/typist.

## **B.     **THESIS ORGANIZATION****

Your thesis will be divided into different parts called *elements*. Some of these elements are administrative items; others are the written portions of the thesis. The elements of your thesis *must* appear in the following order. The elements marked with an asterisk (\*) are mandatory.

### **Introductory Material**

Front Cover\*  
Form 298 (Report Documentation Page)\*  
Signature Page\*  
Abstract Page\*  
Thesis Disclaimer\*  
Table of Contents\*  
List of Figures  
List of Tables  
List of Abbreviations, Acronyms, and Symbols  
Executive Summary\* (Only mandatory in certain curricula)  
Acknowledgments

### **Body of Thesis**

\*Chapter I. Introduction  
Various chapters of your thesis

### **List of References** (may come after any Appendices, if desired)

References\*  
Bibliography  
Glossary (Definition)  
Footnotes/Endnotes

### **Appendices** (if any)

### **Initial Distribution List\***

This thesis manual is divided into the following chapters. Chapter II describes the content and format of the introductory material of your thesis. Chapter III contains the information about the format and content of the body of your thesis. It also covers reference citation formats, figures and photos, and a plethora of other material. Chapter IV contains information about the material that comes after the body of your thesis, including Appendices, List of References, and the Initial Distribution List. Chapter V gives additional information to help you complete the thesis process. Chapter VI describes the procedural details that you will need to accomplish to obtain approvals for your thesis and to turn it in to the Thesis Processor. Everyone should read these six chapters (and the Appendix). Chapter VII contains additional information about classified theses and Chapter VIII has additional information about Thesis Technical Reports. Chapter IX contains additional information on PhD dissertations. Finally, the Appendix contains information about the different distribution statements that are possible and the URL for obtaining the correct “reasons” your thesis is limited.



## II. INTRODUCTORY MATERIAL

The Introductory material of your thesis consists of the Front Cover; Standard Form 298 (Report Documentation Page); the Signature Page; the Abstract Page; the Thesis Disclaimer; the Table of Contents; the List of Figures; the List of Tables; the List of Abbreviations, Acronyms, and Symbols, your Acknowledgment and in certain curriculums an Executive Summary. (Some of these items are optional.) This chapter describes the content of this material and the formats that are used. All of these forms can be found at the NPS Electronic Thesis/Dissertation website.

<http://web.nps.navy.mil/~code09/research1.html>

### A. FRONT COVER

The cover page can be downloaded from the ETD website.

<http://intranet.nps.navy.mil/ResAdmin/research1.html#forms>.

The items of the Cover Page should have the following format.

Item	Format
Title	Upper-case letters, bold type
by (separate with one space above and below)	Lower-case letters, center
Author(s) name (no rank)	Upper- and lower-case letters
Month/year of degree	Upper- and lower-case letters
Advisor(s)/Co-Advisor(s): and or Second Reader (no rank/title)	Upper- and lower-case letters
Distribution Statement	Upper- and lower-case letters, bold type

**Note that the Titles, Author(s) Name, Month and Year of Graduation, Advisor(s)/Co-Advisor, and Distribution Statement *must* match on the Cover Page, the Report Documentation Page, and the Signature Page.**



# NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

## THESIS

**TITLE**

by

Author

Month and Year of Graduation

Thesis Advisor:  
Second Reader:

David V. Lamm  
Peter T. Capozzoli

### **Distribution Statement**

Example of a Cover page for an unclassified thesis

## **B. REPORT DOCUMENTATION PAGE**

The Report Documentation Page is the U.S. Government's technique for recording all government-generated reports. You must include a completed Report Documentation Page, SF 298, in your thesis. An example of this form is shown on page 8 and 10 for instructions for completing the SF 298. The SF 298 Form is the only Report Documentation Page accepted. This page is numbered "i." You may need a continuation page, which should be numbered "ii". The Report Documentation Page is available online at:

<http://intranet.nps.navy.mil/ResAdmin/research1.html#forms>

## **C. SIGNATURE PAGE**

The Signature Page shows the approvals by all of the interested parties of a thesis. Samples of Signature Pages for a single-author Master's degree, a joint-authored Master's degree, and an Engineer's Thesis are shown in the following examples. (A sample Signature Page for a Dissertation is found on page 60.) The Signature Page in your thesis/dissertation will be blank, i.e., no signatures or lines just typed names. The original hardcopy Signature Page with signatures will be turned in to the Thesis Processor with the Thesis Release Form.

The following formats apply to each of the items on the signature page:

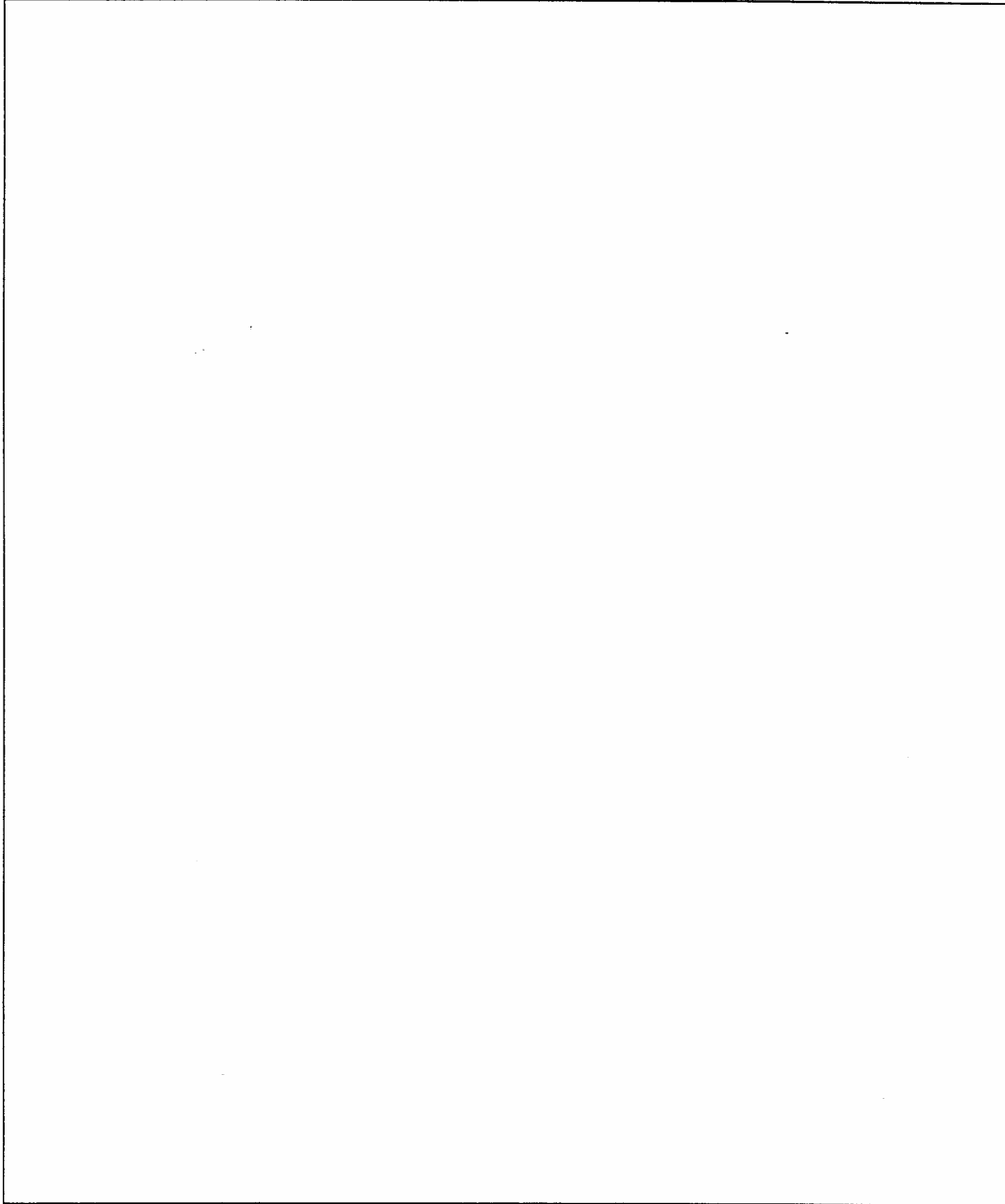
Item	Format
Distribution Statement	Upper and Lower Case, Bold
Title	UPPER CASE, Bold
Author's name	Upper and Lower Case
Author's rank/service	Upper and Lower Case, Spelled Out
Undergraduate degree and year	Upper and Lower Case
Degree awarded	UPPER CASE, Bold
Graduation date	Upper and Lower Case, Bold
Signature names	Upper and Lower Case

<b>REPORT DOCUMENTATION PAGE</b>			<i>Form Approved OMB No. 0704-0188</i>	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188) Washington DC 20503.				
<b>1. AGENCY USE ONLY (Leave blank)</b>		<b>2. REPORT DATE</b> Month Year (Grad Date)	<b>3. REPORT TYPE AND DATES COVERED</b> Master's Thesis	
<b>4. TITLE AND SUBTITLE:</b> Title (Upper and Lower Case)			<b>5. FUNDING NUMBERS</b>	
<b>6. AUTHOR(S)</b>			<b>8. PERFORMING ORGANIZATION REPORT NUMBER</b>	
<b>7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)</b> Naval Postgraduate School Monterey, CA 93943-5000				
<b>9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)</b> N/A			<b>10. SPONSORING / MONITORING AGENCY REPORT NUMBER</b>	
<b>11. SUPPLEMENTARY NOTES</b> The views expressed in this thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government.				
<b>12a. DISTRIBUTION / AVAILABILITY STATEMENT</b> Distribution Statement			<b>12b. DISTRIBUTION CODE</b>	
<b>13. ABSTRACT</b> ( <i>maximum 200 words</i> )  Insert abstract here.				
<b>14. SUBJECT TERMS</b> (These are keywords used to search the WWW)			<b>15. NUMBER OF PAGES</b> total count (lower left corner of computer-the number to the right, for example: 13/27-the number would be 27)	
			<b>16. PRICE CODE</b>	
<b>17. SECURITY CLASSIFICATION OF REPORT</b> Unclassified	<b>18. SECURITY CLASSIFICATION OF THIS PAGE</b> Unclassified	<b>19. SECURITY CLASSIFICATION OF ABSTRACT</b> Unclassified	<b>20. LIMITATION OF ABSTRACT</b> UL	

NSN 7540-01-280-5500

Standard Form 298 (Rev. 2-89)  
Prescribed by ANSI Std. Z39-18-298-102

SECURITY CLASSIFICATION OF THIS PAGE



Standard Form 298, (Reverse)

SECURITY CLASSIFICATION OF THIS PAGE

**INSTRUCTION FOR COMPLETING SF 298 FOR NPS MASTER'S THESIS,  
ENGINEER'S THESIS, OR DOCTORAL DISSERTATION**

The Report Documentation Page is used in announcing and cataloging reports. It is important that this information be consistent with the rest of the report, particularly the cover and signature page. Instructions for filling in each block for the above reports are as follow. Leave blank any blocks that do not apply.

**Block 2.** Report Date. Month and year of your graduation.

**Block 3.** Type of Report. Enter the report type that applies: Master's Thesis, Engineer's Thesis, or Doctoral Dissertation.

**Block 4.** Title of Report. Type title in upper-case letters. [Classified theses: enter the title classification in parentheses, e.g., (U).]

**Block 6.** Enter author(s) name(s): Last, First and Middle Initial.

**Block 7.** Performing Organization Name(s) and Address. Enter "Naval Postgraduate School, Monterey CA 93943-5000".

**Block 8.** Performing Organization Technical Report Number. Leave blank for regular thesis. [Thesis Technical Report: enter report number (e.g., NPS-CS-002-93).]

**Block 9.** Sponsoring/Monitoring Agency Name(s) and Address(es). Enter if appropriate. [Consult your advisor.]

**Block 10.** Sponsoring/Monitoring Agency Report Number. (if known) [Consult your advisor.]

**Block 11.** Supplementary Notes. Enter this disclaimer: "The views expressed in this

thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government." (This statement applies to Unclassified and Classified reports).

**Block 12a.** Distribution Statement. Enter same distribution statement as on thesis cover. [Classified theses: enter additional limitations or special markings in all capitals (e.g., SECRET/NOFORN, etc. ).]

**Block 13.** Abstract. Copy abstract from thesis. (Must be exactly the same words.) Continuation page is available if needed.

**Block 14.** Subject Terms. Enter at least three keywords or phrases identifying major subjects in the report. [Consult your advisor.]

**Block 15.** Number of Pages. Enter the total number of pages. Cover to back.

**Blocks 17-19.** Security Classifications. Enter as appropriate. If form contains classified information, type classification on the top and bottom of the page.

**Block 20.** Limitation of Abstract. This block *must* be completed to assign a limitation to the abstract. Enter either "UL" (unlimited) or "SAR" (same as report).

**Instructions for filling out the Report Documentation Page form**

**Appropriate Distribution Statement - bold**

**IMAGE PROCESSING**

William J. Doe  
Lieutenant, United States Navy  
B.S., United States Naval Academy, 1992

Submitted in partial fulfillment of the  
requirements for the degree of

**MASTER OF SCIENCE IN MECHANICAL ENGINEERING**

from the

**NAVAL POSTGRADUATE SCHOOL**  
**[Month and year degree awarded]**

Author: Officer Student name typed

Approved by: Advisor name typed  
Thesis Advisor

Second reader name typed  
Second Reader

Chairman or Dean name typed  
Chairman, Department of \_\_\_\_\_  
Or Dean, Graduate School of \_\_\_\_\_

**Example of single-author signature page**

**Appropriate Distribution Statement - bold**

**IMAGE PROCESSING**

William J. Doe  
Lieutenant, United States Navy  
B.S., United States Naval Academy, 1992

Mary Ann J. Doe  
Lieutenant, United States Navy  
B.S., United States Naval Academy, 1992

Submitted in partial fulfillment of the  
requirements for the degree of

**MASTER OF SCIENCE IN MECHANICAL ENGINEERING**

from the

**NAVAL POSTGRADUATE SCHOOL**  
**[Month and year degree awarded]**

Author: Officer Student name typed  
Officer Student name typed

Approved by: Advisor name typed  
Thesis Advisor

Second reader name typed  
Second Reader

Chairman or Dean name typed  
Chairman, Department of \_\_\_\_\_  
Or Dean, Graduate School of \_\_\_\_\_

**Example of joint-authored Signature Page**



**Appropriate Distribution Statement - bold**

**IMAGE PROCESSING**

William J. Doe  
Lieutenant, United States Navy  
B.S., United States Naval Academy, 1992

Submitted in partial fulfillment of the  
requirements for the degree of

**MECHANICAL ENGINEER**

from the

**NAVAL POSTGRADUATE SCHOOL**  
**[Month and year degree awarded]**

Author: Officer Student name typed

Approved by: Advisor name typed  
Thesis Advisor

Second reader name typed  
Second Reader

Chairman or Dean name typed  
Chairman, Department of \_\_\_\_\_  
or Dean, Graduate School of \_\_\_\_\_

**Example of Engineer's Degree Signature Page**

**Appropriate Distribution Statement - bold**

**IMAGE PROCESSING**

William J. Doe  
Lieutenant, United States Navy  
B.S., United States Naval Academy, 1992

Submitted in partial fulfillment of the  
requirements for the degree of

**MECHANICAL ENGINEER**  
and  
**MASTER OF SCIENCE IN MECHANICAL ENGINEERING**

from the

**NAVAL POSTGRADUATE SCHOOL**  
**[Month and year degree awarded]**

Author: Officer Student name typed

Approved by: Advisor name typed  
Thesis Advisor

Second reader name typed  
Second Reader

Chairman or Dean name typed  
Chairman, Department of \_\_\_\_\_  
or Dean, Graduate School of \_\_\_\_\_

**Example of Master's and Engineer's Degree Signature Page**

## **D. ABSTRACT PAGE**

The abstract is a short summary of the thesis. It should succinctly state the goals and results of the thesis. It should fit on one sheet of paper and should not exceed 18 lines - spacing is 1.5. The title “ABSTRACT” starts 1” from the top margin in upper-case letters in bold type.

Do not attempt to write the abstract until you have finished writing the thesis. The abstract should begin with a clear statement of the problem or problems you are researching. Ask yourself what the purpose of your paper is and what you are trying to prove or discover. Try to express these points in the fewest words possible. Try to avoid overuse of the passive voice in your abstract.

The same abstract must appear in Block (13) of the Report Documentation Page (SF 298) and in the “Special Abstract,” submitted electronically in Word to the Thesis Processor.

## **E. DISCLAIMER STATEMENT**

*All theses must carry the following disclaimer:*

“The views expressed in this thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government.”

This statement is placed in block 11 of the Report Documentation Page, SF 298. An additional disclaimer may also be required on theses containing new computer codes. These types of disclaimers are placed after the Abstract page.

## **F. TABLE OF CONTENTS**

The Table of Contents must list the chapters, sections, and subsections of your thesis by heading and beginning page number. All chapter and section headings must be included, but the listing of the subsections and higher-order divisions is up to you. In addition, the references section, the bibliography, each appendix, and the Initial Distribution List must be listed, along with their page numbers.

The chapter headings should be flush with the left margin; all subsection listings should be indented 0.5” from the prior listing. (See the example on the next page.) The page number appears at the right margin and dot fill is used between the listing and its page number across the page. You *must* use these dot fills (called “dot leaders”) between the title and the page number. Microsoft Word can generate the Table of Contents automatically after you have marked the headings that are to be included.

## TABLE OF CONTENTS

I.	INTRODUCTION [IF THE TITLE WRAPS TO THE NEXT LINE, ALIGN THE WORDS AS IN THIS EXAMPLE] .....	1
II.	SECOND CHAPTER TITLE (HEADING 1 STYLE) .....	11
A.	HEADING 2 STYLE.....	13
1.	Third Order Heading (Heading 3 Style) .....	16
a.	<i>Fourth Order Heading</i> .....	34
B.	SECOND SECTION TITLE .....	66
III.	THIRD CHAPTER TITLE.....	71
IV.	ETC.....	75
	APPENDIX A. TITLE.....	83
	APPENDIX B. TITLE.....	85
	LIST OF REFERENCES.....	95
	BIBLIOGRAPHY .....	97
	INITIAL DISTRIBUTION LIST .....	101

Example of Table of Contents

### G. LIST OF FIGURES/TABLES (OPTIONAL)

The figure/table list identifies the figures/tables by number, includes the figure or table caption, and indicates the page number. Use any figure/table title format you like, but just be consistent.

If your figure or table is copied from a reference, you will need to note that, as shown on the Table example (From). If your figure or table is taken from a reference and you make changes to it, you will need to note that, as shown on the Figure example (After).

Table 1.      Title      (From:      )

Figure 1.      Title      (After:      )

## H. LIST OF SYMBOLS, ACRONYMS, AND/OR ABBREVIATIONS (OPTIONAL)

This list can contain a list of symbols, acronyms, and/or abbreviations. All of these elements should be defined the first time they are used in the body of the text. When there are many, it may be useful to add a separate listing at this location in the thesis for the convenience of the reader. See sample below.

LIST OF SYMBOLS, ACRONYMS AND/OR ABBREVIATIONS	
$\hat{a}$	propagation constant
$\hat{u}$	frequency
[etc.]	
ADM	Admiral
AL	Alabama
NATO	North Atlantic Treaty Organization
OPEC	Organization of Petroleum Exporting Countries
[etc.]	

### Example of List of Abbreviations, Acronyms, and Symbols

## I. ACKNOWLEDGMENT

Financial support from research sponsors, if any, *must* be acknowledged. Consult your thesis advisor for information to be included. Other acknowledgments are optional. (See Example.)

ACKNOWLEDGMENT
<p>The author would like to acknowledge the financial support of SPAWAR, Code xxx, for allowing the purchase of the equipment used in this thesis. This work was performed under Contract N123456789. [Consult your thesis advisor for details of the acknowledgement.]</p> <p>[Optional acknowledgement(s) example] The author wants to thank Prof. Doe for her guidance and patience during the work in performing this investigation. [etc.]</p>

### Example of an Acknowledgement

### III. BODY OF THESIS

The body of your thesis contains the text of your material and is divided into chapters. This chapter of the thesis preparation manual contains information about the subdivisions of your thesis body and their formatting. In addition, it contains information about figures, photos, graphs, and a myriad of other subjects of possible interest. It also contains the rules about what page breaks are allowed and not allowed. *Read this chapter carefully!*

#### A. THESIS SECTIONS

You should divide your thesis into chapters, sections, subsections, and (perhaps) sub-subsections to facilitate cross-references and improve readability. Further subdivisions are not recommended as they become too unwieldy. The numbering scheme is addressed in the following table.

Subdivision	Number type	Headings
Chapter	Upper-case roman numeral [I, II, III, IV..]	Bold, all upper-case
Section	Upper-case letters [A, B, C, D,...]	Bold, all upper-case
Subsection	Arabic numbers [1, 2, 3, 4,...]	Bold, upper- and lower-case
Sub-subsection	Lower-case letters [a, b, c, d,...]	Bold italics, upper- and lower-case
Higher-order subsections (not recommended)	Arabic numbers in parentheses [(1), (2), (3), (4),...]	Regular, upper- and lower-case

Except for first-order and second-order headings, all new paragraphs within a particular heading are indented to the first number or letter in the heading, regardless of the level of the heading.

## **1. Chapter Headings**

The major divisions of the body of your thesis are called *chapters* and *appendices*. The chapter headings should use only the Chapter number (in upper-case roman numerals) and the title. Margins will be 1.25" on left and right sides, 1" on the top and the bottom. The footer should be set at 1" for the page number. Line spacing will be 1.5 (not double space). Font should be a true font and set at 12 point in the text. If you choose to make your chapter headings a larger font size, you must be consistent throughout your thesis. Chapter headings begin on an odd page, are centered, and are in upper-case letters in bold. Paragraphs that begin under Chapter headings are indented 0.5" from the left margin. See the example on section headings.

## **2. Section Headings (Heading 2 Style) (A., B., etc.)**

The major divisions of a chapter are sections, e.g. (A., B., C., etc). Section headings are flush with the left margin and bold upper-case letters. One double-space or 1.5 space separation should appear above and below second-order headings. Paragraphs following the heading are indented 0.5" from the left margin.

## **3. Subsection Headings (third order headings (1., 2., etc.)**

The major divisions of a section are *subsections*. Subsection headings are indented 0.5" from the left margin, in bold upper- and lower-case letters. Paragraphs are also indented 0.5" from the left margin.

## **4. Sub-Subsection Headings (fourth order headings, a., b., etc.)**

Sub-subsection headings are indented 1.0" from the left margin and are in bold upper- and lower-case italics.

## **5. Headings for Subdivisions of Sub-subsections (fifth order headings, (1), (2)**

Try to avoid reaching this type of heading. From this heading on, all headings are indented 1.5" from the left margin, are numbered or lettered sequentially with the numbers or letters enclosed in parentheses, are in upper- and lower-case letters, and are followed by a period. The text following the heading appears on the *same* line.

All subsequent paragraphs of text are indented 1.5" from the left margin. (Exception: No matter what order heading they come under, lists or bullets are still indented only 0.5" from the left margin.)

## **I. TITLE OF CHAPTER (Heading 1 Style)**

### **A. SECOND ORDER HEADING ALL CAPS AND BOLD (Heading 2 Style)**

[Text follows here. Indent first line of paragraphs 0.5" from left margin.]

#### **1. Title of Third Order Heading (Heading 3 Style)**

[Text follows here. Indent first line of paragraphs to position of number (i.e., 0.5" from left margin for subsection paragraphs.)]

##### ***a. Title of Fourth Order Heading (Heading 4 Style)***

[Text follows here. Note that the paragraph indentation is all the way in to the first letter of the subsection heading (i.e., 1" from left margin).]

(1) Fifth Order Heading. [This level of division is *not* recommended. Text follows *on the same line* as the heading.] Indent at 1.5" from the left margin.

? This is a sample bullet under a fifth order heading – all bullets should be at .5 from left margin.

##### ***b. Title of Second Fourth Order Heading***

[Text follows here...]

### **B. TITLE OF SECOND SECTION**

Etc.

## **B. PAGE FORMATTING**

### **1. Margins and Font Size**

Margins should be 1" at the top and bottom, and 1.25" on the right and left sides. Right margins may be ragged or justified. This guide is written with full justification. Font size should be 12 point. Headings should be no larger than 14 point but consistent throughout your thesis.



## 2. Page Numbering

Number all pages leading up to the main body of text with small Roman numerals, beginning with the Report Documentation Page “SF Form 298” as “i.” If the Report Documentation Page is two pages long because a continuation page is used, the continuation page will be numbered “ii.” If a continuation page is not used, insert a blank page, numbered “ii.” The Signature Page is “iii,” etc.

Your thesis will be printed using double-sided copying (i.e., both the front and back of the paper will be used.) You want to arrange all elements of the thesis, so they begin on an odd-numbered page (i.e., right-hand pages). If the Roman numeral pages of the Table of Contents, List of Figures, etc. end with an odd number (v, ix, etc.), add a blank even-numbered page, so the first page of the following element falls on an odd-numbered page. The following items have roman-numeral page numbers as noted.

Item	Beginning Page number
Report Documentation Page (SF 298)	i
Blank page or continuation page	ii
Signature Page	iii
Blank page	iv
Table of Contents	v
List of Figures	Odd Roman Numeral
List of Tables	Odd Roman Numeral
Acknowledgment	Odd Roman Numeral

Use Arabic page numbers for the main body of the thesis, beginning with the Introduction as page 1, and number all of the pages sequentially, ending with the Initial Distribution List. If a Chapter or other element of your thesis ends on an odd-numbered page, insert an even-numbered blank page to ensure that the following element begins on an odd-numbered page.

### 3. Line Spacing

The thesis must be spaced with 1.5-line spacing. The primary exceptions to the 1.5-line spacing rule are for headings, quotations of more than one sentence, footnotes, and itemized or tabular material. These exceptions are all single-spaced.

## C. REFERENCE CITATIONS

Your thesis may contain or refer to information borrowed from other sources, provided that you give proper credit through citations and references. To neglect giving such credit could be interpreted as *plagiarism*, that is, fraudulently presenting someone else's words, ideas, or works as your own effort. Plagiarism is a violation of the Naval Postgraduate School Honor Code and may be grounds for dismissal both from the school and the service.

The use of borrowed information is indicated in the text of the thesis by a citation, which refers to one or more references in the List of References. The format for citations and references varies among disciplines, universities, and publication style manuals. The guidelines described below provide an uncomplicated but effective style of citing publications or other consulted works. You may use other styles, if considered more suitable for your thesis subject area, at the discretion of your academic department/group chair and if cleared in advance by the Thesis Processor. In all cases, a consistent style must be maintained throughout the thesis.

The List of References includes only publications actually cited in the thesis. The format of the List of References depends on the citation style that is used in the thesis. Two citation styles are standard. You must choose one style and use it consistently throughout your thesis.

- *Citation by number:* The citations are numbered consecutively in the order in which they are first cited and are referred to by number in the body of the thesis. Brackets [ ] or Parentheses ( ) are used to delineate each numbered reference. Be consistent throughout your thesis.
- *Citation by name:* The items in the List of References are arranged in alphabetical order without numbers and are referred to in the text by the author's last name, year of publication and optionally page number's. Parentheses ( ) are used for name references.

**See the ETD/Dissertation website for reference examples.**

**<http://intranet.nps.navy.mil/ResAdmin/research1.html>**

## D. FOOTNOTES AND ENDNOTES

### 1. Footnotes

Credit for borrowed ideas and direct quotations should be acknowledged with reference citations. The primary purpose of footnotes in the Naval Postgraduate School thesis is for qualification of, commentary on, or amplification of textual discussion, when it would otherwise disrupt the flow of thought in text.

Footnotes are indicated in the text by either numeric superscripts<sup>1</sup> or asterisks\*, without parentheses or punctuation; the footnote itself appears at the bottom of the same page. Footnotes are separated from the text by a line at least 1" in length, drawn from the left margin toward the center, two lines below the last line of the text. Another space separates this line from the first footnote. The first line of the footnote is indented about 0.25". Footnotes are single-spaced, with a space between individual footnotes on the same page. The last line of a footnote on a page should be 1½" from the bottom of that page. If a footnote is excessively long, it can be carried over to the following page at the bottom using the same format. Microsoft Word can automatically generate footnotes and can be formatted so that the entire footnote appears on the same page as it is referenced.

### 2. Endnotes

Endnotes are similar to footnotes, but are collected together at the end of each chapter. They follow the same format as footnotes.

## E. FIGURES

Figures are preferably interspersed in the body of the thesis; but all figures, photographs, and/or tables may be collected together either at the end of a chapter or in an appendix, if this placement is beneficial to the reader. Consult your thesis advisor if you want to use the latter option.

If figures are interspersed, they may be within the text (if small enough) or they may be placed on a separate page immediately following the first reference to them. Figures must be mentioned in the text *before* they appear in the thesis.

- If a figure appears on the same page as some text, no text is allowed to the right or left of a figure.

---

<sup>1</sup> This is an example of a footnote.

\* This is another example of a footnote.

- A figure can appear on a page without text; however, it should be centered both vertically and horizontally.

All figures *must* be legible when reproduced. Do not make your figures (or the text within them) too small.

Keep in mind that the caption, figure number, or any other notes *must* also be contained within the regular margins. The figure caption may be flush with the left edge of the figure or may be centered.

Chapter/Figure numbers. All figures are to be numbered with Arabic numerals (e.g., (Figure 1 or 3.1) and captioned. The caption consists of the figure number, the figure title, and any amplifying text required. The caption should be consistent – if you use Upper and Lower Case then do them all that way.

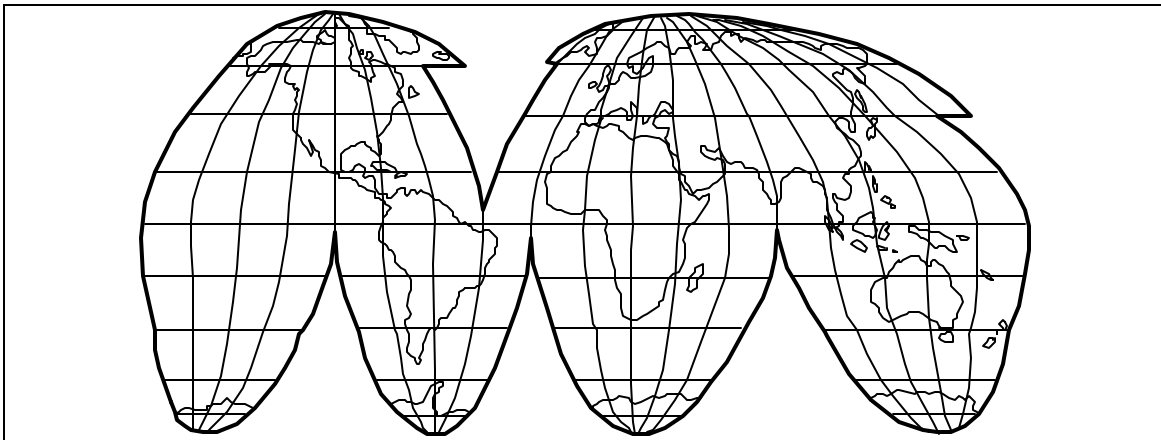


Figure 1. Example of a Figure and Figure Caption.

Figures may be copied from other sources or may be modified versions of figures from other sources only if the source is acknowledged with a reference citation.

If a figure is copied from another source, that source must be acknowledged with a reference citation in the caption. Such a caption would read ([From Ref. [x].)

If the figure is a modified version of a figure from another source, the reference citation in the caption would read ([After Ref. [x].)

If a table or figure is referenced in the text but appears on the next page, text will continue to the bottom of the page, i.e., do *not* leave the rest of the page blank once the figure is mentioned. If a table or figure takes up half a page or more, you may vertically center it and have no text on the same page. If a table or figure is half a page or less, you should continue the text on the same page.

If a figure is positioned to be read sideways in the thesis (i.e., landscape orientation), the figure should be oriented so that its bottom is on the right edge of the page. Keep in mind that your thesis will be printed with double-sided pages. If a landscape figure appears on an odd-numbered page, the bottom of the figure is on the right side of the page; if the landscape figure appears on an even numbered page, the bottom of the figure goes on the left side of the page. (See the following examples.) It is easiest to put the caption at the bottom of the page under the figure. Optionally, the caption may appear under the bottom of the figure in (landscape(-oriented text).

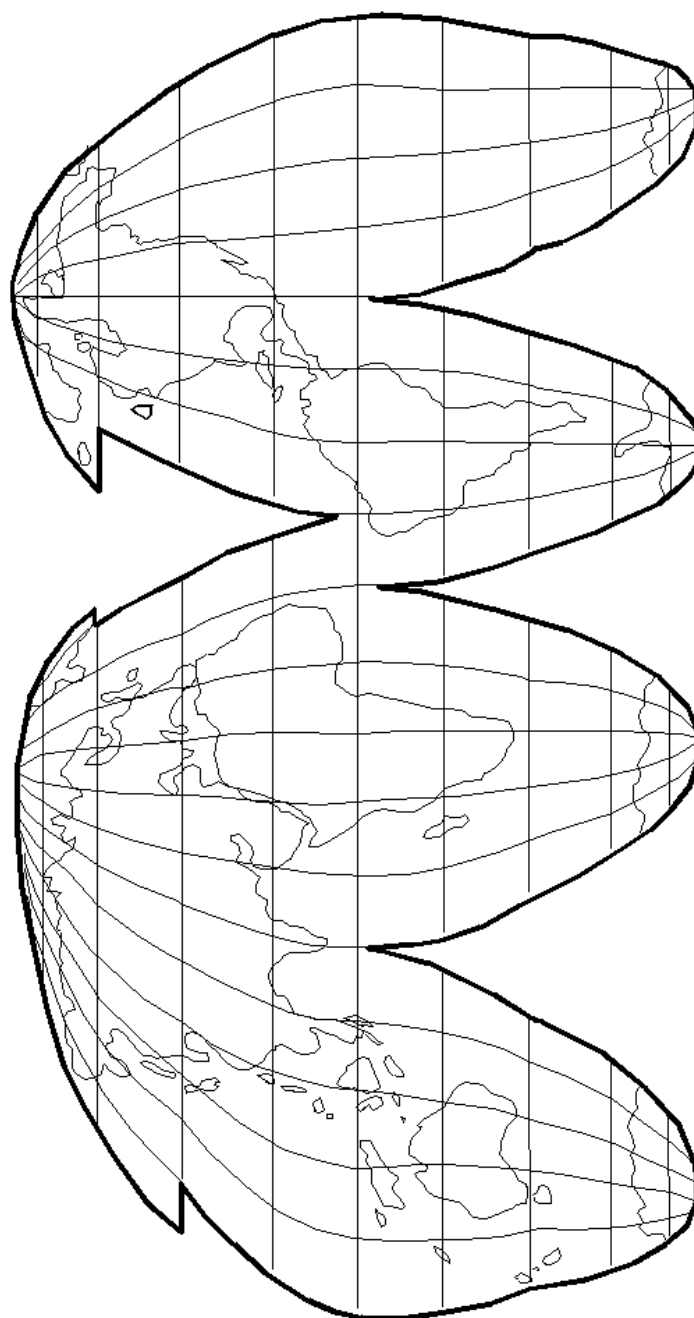


Figure 2. Example of a Landscape Figure.

Caption may be horizontal on the bottom of the page (as here) or vertical along the right edge of the figure (facing outward). Page numbering for this page is placed at the bottom centered.

## F. TABLES

All tables are to be numbered, by either Roman or Arabic numerals, e.g., (Table 1, Table I or Table 3.1), and captioned. The caption consists of the table number, the table title, and any amplifying text required. The caption can be above or below the table in upper and lower case letters. If a table is copied from another source, that source must be acknowledged with a reference citation in the caption. Such a caption would read ([From Ref. [x]. (If the table is a modified version of a table from another source, the reference citation in the caption would read ([After Ref. [x]. No text can appear to the right or left of table). A table can be on a page without text. However, it must be centered both vertically and horizontally. Tables must be mentioned in the text before they appear. The Table caption can be flush with the left edge of the table or can be centered. If a table is positioned to be read sideways in the thesis (i.e., landscape orientation), the table should be oriented so that the bottom is toward the right edge of the page.

All tables must be legible when reproduced; be sure the lettering is large enough.

	Column 1	Column 2
Row 1	11	12
Row 2	12	22

Table 1. Example of Table Structure and Caption.

## G. EQUATIONS, DRAWINGS, GRAPHS, ETC.

### 1. Equations and Formulas

To project a professional appearance, all equations and formulas must be typed, preferably with a software equation editor. Suggested software that combines math and Greek symbols with an equation editor includes *Microsoft Word Equation Editor*, *MathType*, *LaTeX*, etc. Equations may be numbered in sequence either by chapter (e.g., 3.1, 3.2, 3.3,...) or in a continuous sequence throughout the thesis (e.g., 1, 2, 3, 4,...).

### 2. Drawings

Drawings should be computer-produced. Hand-drawn drawings made with graphics tools are allowed, but are not recommended. All text in the final drawing appearing in your thesis must be legible. Try to avoid having lettering less than 10-point size.

### **3. Graphs**

Graphs should be computer-produced. Graphs drawn on graph paper by hand with graphics tools are allowed, but not recommended. All graphs must be legible when reproduced. Graphs should not be drawn freehand; use a straight edge or French curve.

All axes on each graph should be labeled and the units specified. Use only black ink on figures, flow charts, and graphs. Illustrations with very fine, faint, or uneven lines or illegible symbols are unacceptable.

## **H. PHOTOGRAPHS**

Photographs appearing in your thesis may be imported or scanned. Make all images JPEG versus TIF. Your overall thesis will be much smaller. Color figures or graphs are permissible, if pertinent to your research or the quality of the picture or graph. Please do not request color print if it is not necessary.

## **I. QUOTATIONS**

The following example illustrates the format that should be used for a long quotation.

A quotation of two or more sentences is typed 0.5" in from the left and the right margin; this can be achieved with a "double indent" if your word processor supports it. The lines are single spaced. *Do not enclose a single spaced quotation in quotation marks ("...").* Quotation marks are used only for short quotations within the body of the text.

Words omitted from any part of a quoted extract are indicated by ellipsis (three periods at the beginning of or within a sentence, four at the end of a sentence). For example, Although interjections...occur freely in conversation, they are of negligible importance in commercial correspondence.

Use single quotation marks (') only for a quote within a quote, as, for example, "The Secretary of Defense said, 'It is not our policy to...'. "

When "setting off" a word or phrase, use double quotation marks.

## **J. LISTS**

For lists within an existing paragraph, indent all lines of text 0.5" from the left margin. All such indentation must be consistent throughout the thesis.



The following example shows some of the formats used for lists.

*All list designators must be consistent throughout the thesis.* For example, if you are using bullets for your first list, all succeeding lists should be designated with bullets.

[Example of a numbered list.]

1. This is an example of a numbered list.
2. This is the second line of a numbered list.

[Example of a bullet list.]

- If you have a longer item in your list, this example shows the position of the succeeding lines (achieved with a “hanging indent”, if your word processor will support it). Notice that successive lines begin under the first letter of the first line, not under the symbol.
- This is an example of a list item identified by a bullet with the text wrapping. You may use either one.

[Example of a different symbol used as bullet indicator.]

- This is an example of a list identified by a dash (which is *not* the same as a hyphen).

## **K. LINE BREAKS AND PAGE BREAKS**

Some general rules to follow while typing a thesis are:

- The last word on a page should not be divided.
- The last word in a paragraph should not be divided.
- No more than two consecutive lines should end with a hyphen.
- A heading should not be typed at the bottom of a page. There must be room for at least two lines of text below a heading. Otherwise, begin the new section at the top of the next page. As a general rule, it is better to leave white space than to crowd text and overrun the margins.

- Paragraphs must be divided so that there are at least 1 and 1/2 lines of text at the top and bottom of each page. Thus, a three-line paragraph should not be divided.
- If a table or figure is referenced in the text but appears on the next page, the text continues to the bottom of the page, i.e., do *not* leave the rest of the page blank. If a table or figure takes up half a page or more, you may vertically center it and have no text on the same page. If a table or figure is half a page or less, you should continue the text on the page.
- New chapters must begin on odd-numbered pages. Add an even-numbered blank page if the previous chapter ends on an odd page. Many advanced word processors can force this odd-numbered page numbering if you insert the proper commands on the first page of every chapter.

## **L. MISCELLANEOUS RULES**

- Except when beginning a sentence, you may abbreviate (Chapter or Chap.), (Figure or Fig.), and (Equation or Eq.). Once you decide, be consistent with that choice for the rest of your thesis.
- The first letter of the following words or abbreviations should be capitalized when specifically referenced in the text:
  - Chapter: (In Chapter I, the outline... [or] In Chap. I, the outline...)
  - Figure: (In Figure 1, the curves show... [or] In Fig. 1, the curves show...) [Be consistent in choosing whether to use abbreviations.]
  - Table: (Table IV demonstrates...)
  - Appendix: (In Appendix B ...)
  - Equation: (Equation 10 shows.; in Eq. 11....) [Never abbreviate the first word of a sentence.]
- Write out all numbers ten and under; use Arabic numerals for 11 and over. *Exception:* if you are citing a measured distance, temperature, figure, etc., you would use numerals (7 km, 90 F, Figure 4, etc.).
- When using “i.e.” and “e.g.” place a comma afterwards. Example: The data, i.e.,  $v$  vs.  $t$ , show.....

- Choose the correct word, e.g., principal, principle; cite, site; its, it's; compliment, complement.
- Check *each* listing in the Table of Contents against the page number of the actual text.
  - Is the title exactly the same in both places?
  - Is the page numbering correct?
  - Is the last entry the Initial Distribution List?
- Do not use contractions (e.g., don't, it's, wasn't,...) in your thesis.
- Avoid writing in the first person.

## **IV. MATERIAL AFTER BODY OF THESIS**

The material appearing after the body of the thesis contains Appendices (if any), the List of References, the Bibliography (if any), the Glossary (if any), any Endnotes, and the Initial Distribution List. In addition to this material, you will also need to prepare the Thesis Release Form, Signature Page and the Special Abstract. Material governing the content and formatting of these items is contained in this chapter. Please note that your List of References can come either before or after any Appendices.

### **A. APPENDICES (OPTIONAL)**

Appendices contain material that might interrupt the flow of the body of the thesis, such as derivations of formulas, detailed circuit diagrams, or full printouts of computer code. The first paragraph of an appendix should contain a short description of the contents of the appendix so the reader can decide whether to carefully read the material or not.

Appendices begin on an odd numbered-page; add a blank page to the previous section, if necessary. The title Appendix appears on the same line as the appendix title. For one appendix, do not use any letter; for multiple appendices, use (A, B, C...( See the following example. If you have more than one appendix, you must list the titles in the table of contents.

### **B. LIST OF REFERENCES**

The List of References may be placed either before any appendices or after them, as preferred. The List of References must begin on an odd-numbered page. Add a page to the prior item if it ends on an odd-numbered page. The format of the references follows the format used in your discipline or sub discipline. Consult your thesis advisor with questions on how to format your references.

In the List of References, each citation is flush to the left margin and is single-spaced with a space between entries. If you want to include specific page numbers where the information was found, the page numbers should be included in the List of References, not the reference citation. In the titles of publications and their divisions, capitalize the first letter of all words except articles (a, an, the), conjunctions, and short prepositions (of, in, or, by, with, etc.), except when these begin the title. See Section G for examples and also see examples of APA, Chicago and Turabian on our website:

<http://intranet.nps.navy.mil/ResAdmin/research1.html#gen>

## **C. BIBLIOGRAPHY (OPTIONAL)**

The inclusion of a Bibliography is optional. It is a list of those works which you found helpful during the preparation of your thesis, but which were not actually cited as references. It should include publications that might benefit the reader of the thesis. It need not be, however, a list of everything examined during the course of thesis research.

The Bibliography must begin on an odd-numbered page; add a blank page to the previous item if it ends on an odd-numbered page. A Bibliography is arranged alphabetically by author. The format for each entry is the same as that used for the List of References for the by-name citation method. It appears after List of References.

## **D. INITIAL DISTRIBUTION LIST**

This list is the last numbered page of thesis. It must begin on an odd-numbered page; add a blank page to the previous item, if it ends on an odd-numbered page. The Initial Distribution List contains the name, command or activity and city and state of each individual that you and your advisor have decided should receive a copy of your thesis. Do not type street addresses or zip code numbers on this list. Your Special Abstract will have the email addresses of individuals or activities identified. Theses are distributed electronically.

Do not put email addresses on the Initial Distribution List in your thesis. A sample Initial Distribution List follows. The Dudley Knox Library must be included on the list. If a thesis is to be distributed outside the Naval Postgraduate School, the Defense Technical Information Center (DTIC) must be included in the Initial Distribution List.

For all theses, Department/Group Chairmen and Thesis Advisors should be included on the Initial Distribution List only at their specific request. You should ascertain their wishes before preparing the Initial Distribution List.

Since theses are distributed electronically, it is imperative that you obtain correct email addresses for individuals/activities listed. If an incorrect email address is given, the returned email will be forwarded to your thesis advisor with a message that the thesis could not be sent due to incorrect information.

Be sure all State names are written consistently, i.e., VA, CA, etc., or Virginia, California, etc. Either abbreviate or spell out state names, not both.

## INITIAL DISTRIBUTION LIST

[All theses will include the following addresses *in this order*:]  
Except when using distribution statement "F" omit DTIC

1. Defense Technical Information Center  
Fort Belvoir, Virginia
2. Dudley Knox Library  
Naval Postgraduate School  
Monterey, California

### **Marine Corps students should include this address:**

3. Marine Corps Representative  
Naval Postgraduate School  
Monterey, California
4. Director, Training and Education, MCCDC, Code C46  
Quantico, Virginia
5. Director, Marine Corps Research Center, MCCDC, Code C40RC  
Quantico, Virginia
6. Marine Corps Tactical Systems Support Activity (Attn: Operations Officer) Camp  
Pendleton, California

### **Officer students in the Operations Research Program are also required to show:**

7. Director, Studies and Analysis Division, MCCDC, Code C45  
Quantico, Virginia

Put e-mail addresses on bottom of Special Abstract only.

[Dfoverto@nps.navy.mil](mailto:Dfoverto@nps.navy.mil)

[webmaster@tecom.usmc.mil](mailto:webmaster@tecom.usmc.mil)

[ramkeyce@tecom.usmc.mil](mailto:ramkeyce@tecom.usmc.mil)

[strongka@tecom.usmc.mil](mailto:strongka@tecom.usmc.mil)

[sanftlebenka@tecom.usmc.mil](mailto:sanftlebenka@tecom.usmc.mil)

[roetherlh@mctssa.usmc.mil](mailto:roetherlh@mctssa.usmc.mil)

[mckennahj@mctssa.usmc.mil](mailto:mckennahj@mctssa.usmc.mil)

**An example of United States Marine Corps Officer Distribution List**

## V. ADDITIONAL INFORMATION

### A. DECIDING ON A DISTRIBUTION STATEMENT

All theses must have a distribution statement (see the Appendix). You and your advisor will determine the initial distribution by completing the Thesis Release Form. This can be downloaded from the ETD/Dissertation/MBA Report web page. Your Chairman, who reviews and signs your thesis, will review and sign this form as well.

<http://intranet.nps.navy.mil/ResAdmin/research1.html#forms>.

Except for Unlimited Distribution (Distribution Statement A), distribution statements are comprised of three parts: who can receive the document, the reason and date for the restriction, and who will approve future requests for this document. You are encouraged to discuss this with your advisor and to use the research sponsor (if applicable) as the controlling authority for future requests. The distribution statement selected appears in three places in the thesis: the Thesis Cover Page, in block 12a of the Report Documentation page (SF 298), and on the Signature Page. **It is vital that this statement be correct, since it determines if the thesis will be posted on the web as unlimited distribution.**

**See Criteria for Distribution Statement on Electronic Thesis/Dissertation website.**

<http://intranet.nps.navy.mil/ResAdmin/research1.html>

### B. SPECIAL ABSTRACT

Special Abstracts are compiled in a publication which is distributed to flag and general officers, sponsors, and friends of NPS. The “Compilation” is also posted on the NPS website. When you send your final thesis draft to the Thesis Processor, you must also send the Special Abstract in Word. The content must be exactly the same as the Abstract in your thesis.

The Special Abstract must have the email addresses of all individuals or activities on your distribution list in your thesis. The abstract is then emailed to your distribution list with the link to your thesis.

The format of the Special Abstract is indicated in the following example. The margins are the same as your thesis “1” bottom margin and 1” top margin with side margins of 1¼”. The text of your abstract should be limited to 18 lines, if possible, and the font no larger than 12. The following formats should be used, as in the example.

Item	Format
Thesis title	Bold, upper-case letters, centered
Full name, rank and service (or “Civilian”)	Bold, upper- and lower-case letters, centered
Undergraduate degree, College, Month and year	Bold, upper- and lower-case letters, centered
NPS degree (full name), Month and year	Bold, upper- and lower-case letters, centered
Advisor's Name, Department	Bold, upper- and lower-case letters, centered
Second Reader's name and department	Bold, upper- and lower-case letters, centered
Abstract text	Upper- and lower-case letters
Keywords:	Bold, upper-case letters followed by a colon



**TYPE IN THESIS TITLE**

**Sally A. Smith-Lieutenant, United States Navy**

**B.S., United States Naval Academy, 1998**

**Master of Science in Computer Science-December 2003**

**Advisor: John L. Doe, Department of Electrical and Computer Engineering**

**Co-Advisor: Joe M. Doe, Department of Electrical and Computer Engineering**

**Second Reader: Jane S. Doe, Department of Computer Science**

The special Abstracts are compiled and published quarterly. The Compilation of Theses Abstracts is mailed to approximately 550 addresses and are on the NPS Research Office Web Page

The second paragraph and any subsequent paragraphs should be indented 5 spaces (no space between paragraphs). The Special Abstract must be singled spaced, justified and limited to 18 lines (if possible) and be identical to block 13 of Standard Form 298 and the abstract page in the thesis. Please use bold as in this example. For cross-referencing please list keywords and spell out all acronyms. You must make sure your email addresses are correct in order to electronically send your thesis.

When submitting a final thesis in PDF via email to Thesis Final, the Special Abstract must also be sent to your Thesis Processor in Word and should look identical to this one.

**KEYWORDS:** Type in Keywords here (same as Subject Terms in Block 14 of Standard Form (298)) in upper and lower case letters. Separate each keyword with a comma (no bold or period.)

[Name1@nps.navy.mil](mailto:Name1@nps.navy.mil)

[Name2@nps.navy.mil](mailto:Name2@nps.navy.mil)

[Name3@nps.navy.mil](mailto:Name3@nps.navy.mil)

Note: It is not necessary to include the email address of the NPS library or DTIC

## C. EXAMPLE FORMATS FOR REFERENCES

### TYPES OF CITATION

#### **BOOKS with one personal author**

Order of Elements: Author, *Title*, Edition, Volume(s), Pages cited, Publisher, Date.

Example: Jones, H.G., *Chemical Analysis*, pp. 385-386, John Wiley & Sons, Inc., 1987.

#### **BOOKS with two personal authors**

Example: Jarvis, A.F. and Jones, E.K., *Microwave Engineering*, 2nd ed., v.2, Academic Press, 1987.

#### **BOOKS with three personal authors**

Example: Jones, H.G., Smith, R.B., and Robinson, K.T., *Mathematical Analysis*, Harper, 1987.

#### **BOOKS with more than three personal authors**

Example: Jones, H.G., and others, *Differential Equations*, p. 485, McGraw-Hill Book Co., 1976.

#### **BOOKS with a corporate author**

Order of Elements: Corporate Author, *Title*, Edition, Volume(s), Pages cited, Publisher, Date.

Example: American Cyanamid Company, *Annual Report*, 1987.

#### **BOOKS with no author**

Order of Elements: *Title*, Edition, Volume(s), Pages cited, Publisher Date.

Example: *Metals Handbook*, 9th ed., v.2, p. 84, American Society for Metals, 1989.

### **PERIODICALS**

Order of Elements: Author(s), "Title of Article," *Title of Periodical*, Edition, Volume number, Pages cited, Date.

Example: Christiansen, D.H., "Integrated Circuits in Action, Part I: *The Great Design Dilemma*," *Electronics*, v. 39, pp. 68-87, 17 December 1988.

### **TECHNICAL REPORTS**

Order of Elements: Source, Report number, *Title*, Author(s), Pages cited, Security classification (if any), Date.

Example: Naval Electronic Laboratory Center Report 1512, *Reliability Screening and Step-stress Testing of Digital-type Microcircuits*, by H.F. Dean and K.F. Harper, p. 17, 1 September 1986.

**PAPER (unpublished)**

Order of Elements: Author(s), "Title," Place/event note, Date.

Example: Brauer, N.B., "Microelectronics for Command and Control Systems-Today and Tomorrow," paper presented at the American Ordnance Association Symposium, 10<sup>th</sup>, Bangor, Maine, 9 September 1986.

**THESIS/DISSERTATIONS**

Order of Elements: Author(s), *Title*, Thesis note, Date.

Example: Hudson, R.F., *Software Agents and the Defense Information Infrastructure: Reengineering the Acquisition Process*, Master's Thesis, Naval Postgraduate School, Monterey, California, September 1998.

Madison, Dana E., *A Database Approach to Computer Integrated Manufacturing*, Ph.D. Dissertation, Naval Postgraduate School, Monterey, California, June 1989.

**LETTERS**

Order of Elements: Source, Security Classification, File number (s), Addressee Subject, Date.

Example: Naval Material Command CONFIDENTIAL letter CNM 0331: MCC Serial 198 to Naval Electronics Laboratory Center, Subject: Research Objectives; Request for Report on (U), 12 May 1976.

**PATENTS**

Order of Elements: Inventor(s), *Title*, Country, Patent number, Date.

Example: Kindel, L.J. and McManus, R.P., *Spectrum Analyzer*, U.S. Paten 3,366,877, 9 December 1988.

**SPECIFICATIONS**

Order of Elements: Source, Type of Spec., Spec. number, *Title*, Date.

Example: Department of the Navy Military Specification MIL-R-16400F (NAVY), *Electronic Equipment, Naval Ship and Shore, General Specification*, 24 February 1977.

**PUBLIC DOCUMENT**

Order of Elements: Source, Agency, *Title*, Pages cited, Publisher, Date.

Example: U.S. Department of Health, Education, and Welfare, *National Center for Education Statistics, Digest of Educational Statistics*, pp. 6-12, Government Printing Office, Washington, D.C., 1977.

**INTERVIEW**

Order of Elements: Source, Agency, Date.

Example: Interview between W. Knox, Lieutenant Commander, MSC, USN, Naval Medical Command, Washington, D.C., and the author, 27 May 1976.

### TELEPHONE CONVERSATION

Order of Elements: Source, Agency, Date.

Example: Telephone conversation between (name), (code), (agency) and the author, 22 January 1999.

### MESSAGE

Order of Elements: Source, Subject, Date.

Example: NAS Norfolk, VA Naval Message, Subject: Civilian Personnel Onboard, 101300Z Sep 85.

### WEB ADDRESS

Order of Elements: Author(s), Title, Web address, Date.

Example: Limb, Peter, "Relationship between Labor & African Nationalist/Liberation Movements in Southern Africa."

[[http://neal.ctstateu.edu/history/word\\_history/archives/limb-1.html](http://neal.ctstateu.edu/history/word_history/archives/limb-1.html)]. Dec 03. **Include date (month/year) you last accessed the site.**

**Note:** Format for the Bibliography is the same, except that page references are omitted. Whenever italics are used in this example you may underline.

### E-MAIL

Order of Elements: Author(s), Title, E-Mail, Date.

Example: Larkham, P. Re: Periodicals [Online]. Available e-mail: from [peter.larkham@uce.ac.uk](mailto:peter.larkham@uce.ac.uk)

Remember that the recipient, as well as the sender, may have retained a copy of the original message. (21 Jan 03).

## D. THESIS FINAL CHECKLIST

### COVER PAGE

- ☐ **TITLE** (upper-case/ **bold**/center)
- ☐ by (lower-case/center/separate with one space above and below)
- ☐ Name (center/upper-lower case, no rank)
- ☐ Month/yr. (upper-lower case/center  
e.g., December 2002 (no comma))
- ☐ Advisor(s) (flush left)
- ☐ Advisor(s) name (flush right, **no rank or title**)
- ☐ Appropriate Distribution Statement  
(center/upper-lower case/**bold**).

### **Thesis Technical Report**

- ☐ Technical report number
- ☐ Prepared for:
- ☐ Signature release page.

### **REPORT DOCUMENTATION PAGE (298) REPORT**

- ☐ blocks 2, 3, 4, 6, 7, 11, 12a, 13, 14, 17-19 and 20 must be complete. Blocks 5, 8, 9 (for Technical reports).
- ☐ Page count – lower left hand corner of computer gives total page count

### **SIGNATURE PAGE**

- ☐ Distribution Statement 1” from the top of the page in upper-lower case/**bold**/centered
- ☐ **TITLE** (upper-case/**bold**/center)
- ☐ Author's Name, Rank, Service, **Spelled Out** Undergraduate degree and year (in upper-lower case/center)
- ☐ Degree awarded (upper-case/**bold** center)
- ☐ Graduation month and year (upper-lower case/center, **bold** optional)
- ☐ Typed names (upper-lower case/center, no rank or title). **NO LINES**

### **ABSTRACT PAGE**

- ☐ **TITLE** (upper-case 1” from the top of the page/center/**bold**).

### **TABLE OF CONTENTS**

- ☐ **TITLE** (center upper-case/**bold** 1” from the top of the page)
- ☐ Do Not List Roman numeral pages
- ☐ Make sure that titles and page numbers match titles and page numbers in the thesis.
- ☐ Dot leaders required (.....1)
- ☐ If more than one appendix, list titles
- ☐ Initial Distribution List (last item)

All Chapters/List of References, Appendices and the Initial Distribution List start on an odd page number.

### **LIST OF FIGURES/TABLES**

- ☐ Figure/Tables numbering should be in sequential order, or by chapters. Figure numbering in Arabic number only.
- ☐ Make sure that titles and page numbers match titles and page numbers in the thesis.
- ☐ Figure caption (below figure)
- ☐ Table caption (above or below) must be consistent
- ☐ List of Figures/Tables should be listed separately on an odd page number
- ☐ Dot leaders required.

## **LIST OF ABBREVIATIONS ACRONYM'S and SYMBOLS**

(optional). List each on an odd page.

## **ACKNOWLEDGMENT (optional)**

**EXECUTIVE SUMMARY** starts before the Acknowledgment (if applies).

## **PAGE MARGINS**

□ left and right 1 1/4", top 1", page number 1" from the bottom of the page centered.

## **INTRODUCTION**

□ **CHAPTERS** start on an odd page number (center upper-case **bold**).

□ **SECOND ORDER TITLES** (flush left upper-case **bold**). Paragraphs start 0.5" from the left margin.

□ **1. Third Order Titles** starts 0.5" from the left margin (upper-lower case **bold**). Paragraphs align under the number.

□ *a. Fourth Order Title* starts 1.0" from the left margin (upper-lower case *Italics bold*). Paragraphs align under the letter.

□ Fifth-order title is indented 1.5" from the left margin (upper-lower case). The paragraph begins on the same line, two spaces after the period.

## **APPENDICES**

□ **TITLE** (in upper-case/**bold**/center)

□ if more than one appendix, list titles

□ Start each appendix on an odd page number.

## **LIST OF REFERENCES and BIBLIOGRAPHY**

□ **TITLE** (in upper-case/**bold**/center)

□ One style consistently throughout

□ States and the month spelled out or abbreviated (must be consistent).

The list of references can be placed before or after the appendix on an odd page number.

The Bibliography is placed after the List of References on an odd page number (optional).

## **INITIAL DISTRIBUTION LIST (IDL)**

□ **TITLE** (upper-case/**bold**/center)

□ Number each addressee (see below)

□ States (spelled out or abbreviated)

□ No zip codes or street addresses

□ DTIC should be listed on all theses except when using distribution statement "F"

□ Dudley Knox Library should be on all distribution lists

[] IDL is the last odd page of the thesis (no **bold**).

1. Defense Technical Information Center  
Ft. Belvoir, VA\*
2. Dudley Knox Library  
Naval Postgraduate School  
Monterey, CA\*

\* May be spelled out

## **THESIS FORMS**

[] Thesis Release Form (signed by Advisor and Chair) with attached questionnaire when using distribution statement other than "A"

[] Original signed Signature Page.

**NOTE:** Color submission form is turned in with Thesis Release Form and Signature Page. Only pages that require color for graphs or figures should be in color.

### **Thesis arrangement.**

Cover page	no page number
DD Form 298	"i"*
Blank page	"ii" (with statement) THIS PAGE INTENTIONALLY LEFT BLANK (centered) in uppercase letters***
Signature page	"iii"
Blank page	"iv"
Abstract page	"v"
Blank page	"vi"
Table of Contents	"vii"
Blank page	"viii"
List of Figures	"ix" (optional)
Blank page	"x"
List of Tables	"xi" (optional)
Blank page	"xii"
List of Symbols	"xiii"
Blank page	"xiv"
Executive Summary	"xv"
Blank page	"xvi"
Acknowledgment	"xvii"
Blank page	"xviii"
I. Introduction	"1"
II. Conclusion	"3"
Appendix A: Title**	"5"
List of References	"7"

Initial Distribution List “11”

\*Count Roman numeral pages, Cover and all Arabic page numbers to get the total page count. (Left hand corner of your computer)

\*\*If only one appendix (title is optional).

**Classified** (Signature Page and Thesis Release Form, Source Document Record, electronic copy and hard copy of Special Abstract) Student will make two hard copies of thesis and one CD (to be provided by the Thesis Processing Office).

**Top Secret** (Electronic copy and hard copy of Special Abstract, plus the Signature Page and Thesis Release Form), CD and Hard Copy to Thesis Processor.

**Dissertations** must be turned into our office (24) hours before graduation.

**Call 656-2762/2273 for your final appointment. Thank you.**



## **VI. PROCEDURAL MATTERS**

When you are finished writing your thesis, you are ready to obtain the required signature approvals and turn it in to the Thesis Processing Office. Be sure to allow time for suggested (or required) changes at each step of the process. Do not underestimate the time that it can take to have someone read your thesis, suggest changes, and then reread it to make sure that the changes have been made correctly.

### **A. GETTING THESIS APPROVALS**

The first step is to submit a rough draft to your Thesis Advisor and Co-Advisor or Second Reader for approval. At the same time, you may submit a copy to the Thesis Processor via email (Thesis Draft) for review. Format corrections will be noted and returned to you via email. If your thesis is Classified or Top Secret, please call 656-2762 for an appointment with the processor. Leave sufficient time prior to the deadline to make any required changes. This review process can be time consuming. Plan ahead!

You and your advisor should complete the Thesis Release Form making sure the proper distribution statement has been applied to your thesis.

After your Thesis Advisor and Second Reader (or Co-Advisor) have approved your rough draft, turn in a smooth copy of your draft to your Department/Group Chairman.

After making any changes required by your Chairman, prepare your final draft and email to Thesis Final in PDF format. Obtain the signatures of your Advisor, Second Reader (or Co-Advisor), and Department/Group Chairman. (Note that two sets of signatures are required. One set is for your Thesis Release Form and is the approval to release your thesis to the web (or not), and the second set is your Signature Page.). You can then make an appointment for final review with the Thesis Processor to get your green card.

When you go to your appointment with the Thesis Processor, the following items must be submitted:

- Your signed Thesis Release Form
- *Signed* Signature Page
- Color Page Request Form (optional)

The responsibilities of the Thesis Processors are to assist students in achieving a publishable thesis prepared in accordance with the above guidelines. The office is located in Halligan Hall, Rooms 236 and 232; the hours are from 7:00 am to 4:00 pm, Mon-Fri. If you have thesis questions, call x2762 or x2273 or drop by. To make final appointments email Thesis Final or your Thesis Processor.

All NPS Theses (except SI classified theses) must be emailed to the Thesis Processing Office for review of conformance to format and content requirements (Thesis Draft). Upon approval, Thesis Technical Reports are signed by the Dean of Research. Doctoral dissertations must be signed by the Associate Provost for Academic Affairs *before* submitting to the Thesis Processor.

## **B. PRINTING AND DISTRIBUTION**

The Thesis Processing Office arranges for printing and email distribution of unclassified theses. You **will not** receive a hard copy of your thesis. Two copies of your thesis are printed and sent to the Dudley Knox Library for archival purposes. Your thesis is distributed electronically via the email list on your Special Abstract. Classified Theses are forwarded to the Library via two hard copies and one CD. The Thesis Office will email your thesis via Siprnet to email addresses provided on your Special Abstract.

## **C. THESIS FINAL PDF VERSION.**

The final PDF version of your thesis and the Special Abstract in Word are archived by the Thesis Processing Office. A copy of each thesis is sent to the Defense Technical Information Center (DTIC) electronically for distribution unless Distribution Statement is F.

## **D. DEPARTURE PRIOR TO GRADUATION**

If you plan to depart NPS prior to graduation, you should notify your thesis advisor as early as possible. If possible, you should complete your thesis early, so that it will be in final form prior to your departure. If you cannot complete the thesis in time, you may be required to obtain a thesis extension. This is done through your curriculum office.

## **E. THESIS EXTENSIONS**

If you complete your thesis while not in residence at NPS, it is your responsibility to find and designate a party to be responsible for changes and to see the thesis through the approval process on your behalf. Your advisor may submit the completed thesis, if necessary. Consult your Program Officer, if you need help processing your thesis while away from NPS.

## **VII. CLASSIFIED THESES**

Classified research and theses are part of the normal NPS routine and are easily accommodated by the NPS system. Of course, there are additional formatting requirements for a classified thesis or dissertation. This chapter provides information about these additional rules. You should also be familiar with the rules for regular theses that have been given in the earlier chapters of this manual.

### **A. CLASSIFYING THESIS MATERIAL**

It is the responsibility of the author to ensure that a thesis containing national security information is properly classified before being submitted for processing. The Naval Postgraduate School does not have original classification authority. You will, therefore, need to coordinate with your advisor and the research sponsors regarding classification of reports containing new results with national security implications. Theses incorporating information from classified references should be classified accordingly. In cases where questions arise regarding thesis classification, you should consult the NPS Security Manager. You may also go to our website where security information is available regarding classified theses.

For internal, the site is: <http://intranet.nps.navy.mil/security/5510.2c%20encl.pdf> or <http://intranet.nps.navy.mil/ResAdmin/research1.html>

For off campus, the site is: <http://www.nps.navy.mil/research/external/research1.html>

### **B. CLASSIFIED THESIS COVER**

The cover of a classified thesis is much like that of a regular thesis with the addition of an overall security marking, a restrictive distribution statement, and a destruction notice on the bottom. See the following example.

SECRET



# NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

## THESIS

THESIS TITLE (U)

by

Author's Name

Month and year of Graduation

Thesis Advisor:

Advisor's Name

Second Reader:

Reader's Name

### **Distribution Statement**

#### **DESTRUCTION NOTICE**

Classified by: [Multiple  
Sources commonly used]  
Declassify on: OADR

For Classified documents follow the procedure in DoD 5220.22m  
Industrial Security Manual or DoD 5200.1R Information Security  
Program Regulation. (Ch. 17 of OPNAVINST 5510.1)

Copy \_\_\_\_ of  
\_\_\_\_ copies.  
This document  
Contains \_\_\_\_  
Pages.

81

SECRET

THIS PAGE IS UNCLASSIFIED BUT MARKED "SECRET" FOR TRAINING PURPOSES ONLY

## C. TABLE OF CONTENTS

The Table of Contents of your classified thesis is much like the Table of Contents of a regular thesis except that the classification of the headings must also be included in the listing. See the following example.

TABLE OF CONTENTS (U)	
I.	INTRODUCTION [IF TITLE OF ANY HEADING WRAPS TO THE NEXT LINE, ALIGN THE WORDS AS IN THIS EXAMPLE] (U) .....1
II.	SECOND FIRST ORDER HEAD (TITLE) (U) .....11
A.	(U) SECTION TITLE.....14
1.	(U) Third Order Head (Title).....16
a.	(U) Fourth Order Head (Title) .....34
b.	(U) Second Fourth Order Head (Title) .....35
B.	(U) SECOND ORDER HEAD (TITLE) .....66
III.	THIRD FIRST ORDER HEAD (TITLE) (U) .....71
IV.	ETC. (U).....75
	APPENDIX. TITLE (U) .....81
	LIST OF REFERENCES (U) .....97
	BIBLIOGRAPHY (U) .....99
	INITIAL DISTRIBUTION LIST (U) .....101

### Example of a Table of Contents for a Classified thesis

SECRET

**D. MARKING THE DIVISIONS OF A CLASSIFIED THESIS**

The following example illustrates the marking of headings, paragraphs, and other features of classified theses.

**SECRET-NOFORN**  
(For Training Purposes Only; Otherwise Unclassified)

**I. CHAPTER HEADING (U)**

**A. (U) SECTION HEADING**

(S) The classification marking of section titles is illustrated above. They are marked according to their own classification and *do not* reflect the overall classification of the material which follows.

**1. (U) Subsection Heading**

(C) The classification of a paragraph is shown at the beginning of the paragraph. Individual paragraphs are classified according to the information they reveal. Classification is always based on the information being revealed, never on the statement standing alone.

(S) Subdivisions or lists within the paragraph need not be marked, if they do not express complete thoughts. For example,

- Systematized digital projection
- Compatible organizational flexibility

**a. (U) Sub-subsection Heading**

**b. (U) Warning Notices**

(S-NOFORN) Warning notices are indicated in full on the front cover. Interior pages are be marked with the short form of the control marking, (e.g., NOFORN-Not Releasable to Foreign Nationals), WNINTEL (Warning Notice-Intelligence Sources or Methods Involved), etc.). These caveats follow the classification symbol. Paragraphs are also be marked with the abbreviated form of the warning.

**SECRET-NOFORN**  
(For Training Purposes Only; Otherwise Unclassified)

Examples of classification markings of headings and text in a classified thesis. (Classification markings are for training purposes only; otherwise, the material is unclassified.)

SECRET

**E. PAGE CLASSIFICATION MARKINGS**

Each page of a classified thesis must be marked at the top and bottom with the highest classification of any paragraph from that page. When a classified paragraph carries over to the next page, where subsequent paragraphs are unclassified, that page is marked in accordance with the classified material being carried over.

Classification markings (top and bottom) should be in boldface type and immediately distinguishable from the text.

**F. TOP SECRET THESES**

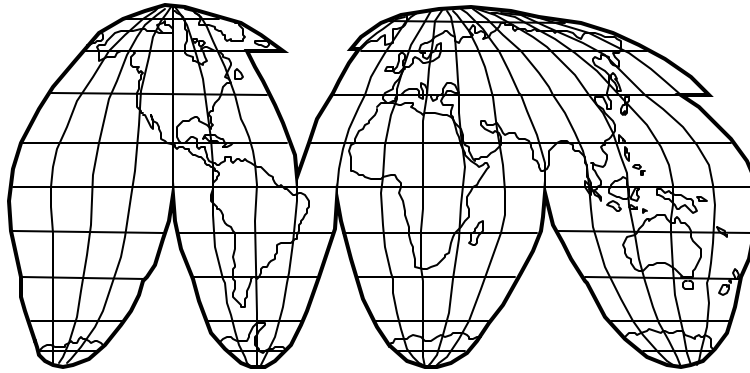
Students writing TOP SECRET theses will contact the Thesis Processor for special instructions. An electronic copy, a CD and hard copy of the final thesis are required before departing NPS. The fully signed Thesis Release Form, Signature Page and the Special Abstract (if unclassified) are turned into the Thesis Processor.

In 2004, the Research Office assumed the responsibilities for handling classified thesis that was formerly held by the Security Manager. Information will be updated on the SCI website and the Thesis/Dissertation/MBA Report and Distributed Learning website at: <http://intranet.nps.navy.mil/ResAdmin/research1.html#class>

**G. CLASSIFIED FIGURES, TABLES, GRAPHS, PHOTOS, ETC.**

The current method for marking classified figures, graphs, photos, charts, and similar documents is shown in the next example. The classification of the figure itself appears beneath the document. The classification of the caption is placed immediately preceding it. In the example, the figure itself is SECRET and the caption is unclassified. Table captions follow the same rules.

SECRET



(SECRET)

[SECRET for training purposes; otherwise unclassified.]

Figure 1. (U) Example of Caption in a Classified Thesis.

## H. LIST OF REFERENCES

The format of the List of References depends on the citation format. (See the earlier material on citation formats.) In addition, the classification of the title is indicated with a symbol [e.g., (U), (S), (S-NOFORN), etc.] placed after the title and the overall classification of the document is included at the end of the citation (in boldface type). See the following example.



SECRET  
Example of a List of Classified References

LIST OF REFERENCES (U)

[Reference by number: (classified):]

1. Jones, G. E., *Applied Operations Research (U)*, pp. 9-11, John Wiley & Sons, Inc., 1996. (**SECRET** document)
  2. Whitehouse, G. E., *Applied Operations Research (U)*, John Wiley & Sons, Inc., 1996. (**CONFIDENTIAL** document)
  3. Millhouse, A. P., (Naval Warfare (U)), (*Modern Naval Tactics (U)*), Naval War Lab, Report NWL-001, January, 2002. (**SECRET** document)
- 

[Reference by name: in alphabetical order (classified):]

Millhouse, A. P., (Naval Warfare (U)), (*Modern Naval Tactics (U)*), Naval War Lab, Report NWL-001, January, 2002. (**SECRET** document)

Rowe, A. P., *One Story of Radar (U)*, pp. 5-9, Cambridge University, 1998. (**SECRET** document)

Smith, A. B., *Operations Research: An Introduction (U)*, Praeger, 1992. (**CONFIDENTIAL** document)

[Note: For training purposes only; listings are fictitious.]

SECRET

**I. INITIAL DISTRIBUTION LIST**

The format for the Initial Distribution List of a classified thesis is illustrated in the next example. The Defense Technical Information Center address **must** be included, unless you are using Distribution F Statement. The Library requires two hard copies of classified theses and one CD.

Your thesis will be distributed via Siprnet, so it is critical to have accurate email addresses. You will bring two hard copies and one CD to the Thesis Processor at your final visit. The processor will distribute your thesis via email.

**J. SOURCE DOCUMENT RECORD**

The source document record is a listing of all classified sources used in your thesis. Only documents that are cited and listed in the List of References appear on this record. See the following example.

**SOURCE DOCUMENT RECORD**

[Name, rank, and name of curriculum]

Thesis Title: [Title] (U)

Classification level: [Confidential, Secret, etc.]

The classified references which support the classification of this thesis are:

1. [Itemize for each, Source Document title (U), originator, date, classification, classification authority, and declassification statement.]

2. [etc.]

3.

4.

etc.

[Note: All documents listed here must appear in the List of References; all classified documents in your List of References must appear here.]

SECRET

**INITIAL DISTRIBUTION LIST (U)**

1. Defense Technical Information Center  
Fort Belvoir, VA
2. Dudley Knox Library  
Naval Postgraduate School  
Monterey, CA

[**CAUTION:** A classified thesis will not be sent directly to an individual. It *must* be sent to a command, to the attention of the individual's name, and containing a code as in the following example.]

3. Commanding Officer (Code 12)  
Attn: LCDR J.P. Jones  
Naval Weapons Center, China Lake  
China Lake, CA

[**CAUTION:** A classified thesis directed to a non-military activity must be forwarded to it via the military sponsor or other cognizant military office authorized to receive classified material and in a position to determine the eligibility of the ultimate addressee to receive classified material.

See the following example.

4. General Dynamics Corporation  
Attn: W.B. Smith  
Costa Mesa, CA  
Via  
Navy Plant Representative Office  
Attn: LCDR W.T. Door  
General Dynamics Corporation  
Costa Mesa, CA

SIPRNET email address of these activities should be on the Special Abstract to the individuals on the Distribution List in the thesis. No hard copies will be mailed. Distribution of thesis will be electronic only.

## **VIII. THESIS TECHNICAL REPORTS**

Some theses are published as NPS technical reports, usually to document the research results for a research sponsor or to obtain wider distribution of the results. Your thesis advisor will decide if your thesis should be published as a Thesis Technical Report. The cover page of a Thesis Technical Report is different than a regular thesis and there is an additional release statement page that appears on the inside cover of the report. In addition, an NPS technical report number is assigned to the report and must appear on the cover and on the report documentation page. This chapter presents information on these aspects of a Thesis Technical Report.

### **A. FRONT COVER**

The front cover of a Thesis Technical Report is similar to that of a regular thesis except that it has a report number on the top left portion of the page and the sponsoring agency's name and address on the lower left portion of the page. See the following example.

#### **1. Report Number**

Each Technical Report will carry a report number in the upper portion of the cover page. See the following example.

EXAMPLE: NPS-CS-93-001

- CS – Two digit department code of your advisor
- 03 – Two digit number indicating fiscal year of publication
- 001, 002, 003,... – Sequential number assigned by the responsible individual in the department. (It designates the number of reports in that department for the year.) Consult the NPS Research Office (Technical Report Process) for the next available number.

#### **2. Research Sponsoring/Monitoring Agency**

The name and address of the Research Sponsoring/Monitoring Agency are required at the bottom left of the cover page, in block 9 of the Documentation Report page, and on the Signature Release Page. They go after the (PREPARED FOR) statement and are in boldface type.

**[NPS Technical Report Number]**

NPS-XX-03-001



# **NAVAL POSTGRADUATE SCHOOL**

**MONTEREY, CALIFORNIA**

## **Pulse Propagation and Bistatic Scattering**

by

John Doe

26 January 2004

Approved for public release; distribution is unlimited.  
Prepared for: (Name of Sponsoring Agency)

**Example of Thesis Technical Report Cover**

**B. SIGNATURE RELEASE PAGE**

The Signature Release page controls the release of the report and the authorization to make copies. See the following sample.

NAVAL POSTGRADUATE SCHOOL  
Monterey, California 93943-5000

RDML Patrick W. Dunne, USN  
Superintendent

Richard Elster  
Provost

This report was prepared for

\_\_\_\_\_

and funded by \_\_\_\_\_.

Reproduction of all or part of this report is authorized.

This report was prepared by:

\_\_\_\_\_  
Author  
Title

\_\_\_\_\_  
Author  
Title

Reviewed by:

\_\_\_\_\_  
Name of Department Chair  
Department of (\_\_\_\_\_)

Released by:

\_\_\_\_\_  
Leonard A. Ferrari, Ph.D.  
Associate Provost and  
Dean of Research

**Example of Signature Release page for thesis technical report (inside Cover).**

## **IX. PH.D. DISSERTATIONS**

A Ph.D. dissertation differs (in format) from a regular thesis by the cover page, documentation page, and the signature page. This chapter explains the required formats.

### **A. GRADUATION CEREMONY**

Most Ph.D. candidates complete their requirements before graduation and are awarded their degree in the graduation ceremony. No candidate can participate in the graduation ceremony for the award of the degree until his/her dissertation has received the signature of the Associate Provost for Academic Affairs. In addition, the oral examination must be completed and the final draft of the dissertation must be signed by the entire Committee before the last Council meeting of the quarter. The final, signed version of the dissertation will be submitted to the Thesis Processor no later than *twenty-four hours* before graduation day.

### **B. COVER PAGE**

The cover page of a dissertation replaces the word “THESIS” with the word “DISSERTATION”. See the following example.

### **C. SIGNATURE PAGE**

The Signature Page for a dissertation contains signature lines for all members of the Ph.D. committee, the Department Chairman, and the Dean of Instruction. See the following example. You are responsible for obtaining the signature of the Associate Provost for Academic Affairs *before* bringing the dissertation to the Thesis Processing Office for its final check.

**OCEANOGRAPHIC PHENOMENA**

**John/Jane Doe**  
**Lieutenant, United States Navy**  
**B.S., United States Naval Academy, 1992**  
**M.S., Naval Postgraduate School, 2004**

**DOCTOR OF PHILOSOPHY IN [SUBJECT]**

from the

**NAVAL POSTGRADUATE SCHOOL**  
**[Month and year degree awarded]**

Author: \_\_\_\_\_  
John/Jane Doe

Approved by:

\_\_\_\_\_  
John Doe  
Professor of [Subject]  
Dissertation Supervisor

\_\_\_\_\_  
Jane Doe  
Professor of [Subject]  
Dissertation Committee Chair\*

\_\_\_\_\_  
John/Jane Doe  
Professor of [Subject]

\_\_\_\_\_  
John/Jane Doe  
Professor of [Subject]

\_\_\_\_\_  
John/Jane Doe  
Professor of [Subject]

\_\_\_\_\_  
John/Jane Doe  
Professor of [Subject]  
Dissertation Supervisor

Approved by: \_\_\_\_\_  
John/Jane Doe, Chairman, Department of [Subject]

Approved by: \_\_\_\_\_  
Julie Filizetti, Associate Provost for Academic Affairs

\*if different from the Dissertation Supervisor

**Example of Ph.D. Dissertation Signature Page.**



## APPENDIX. DISTRIBUTION STATEMENTS

Each thesis must be assigned a Distribution Statement from the list below. Except for Distribution Statements A and F, each Distribution Statement is made up of three parts: who can receive the document, the reason and date for the restriction, and who will control future requests for this document. You should discuss this with your thesis advisor, and sponsor if appropriate, and whenever possible use an appropriate external research or thesis sponsor as the controlling authority for future requests. DTIC has specific reasons for restricted statements. See **Criteria for Distribution Statement**: <http://intranet.nps.navy.mil/ResAdmin/research1.html#forms>  
*Only* the listed “reasons” may be inserted in the distribution statement as the reason for the restriction.

### A. DISTRIBUTION STATEMENTS

This section describes the seven different distribution statements applicable to theses. One of these statements will be selected by the student and thesis advisor and will appear in three places in the thesis:

- Thesis Cover
- Standard Form 298 (Report Documentation Page)
- Signature Page

The seven distribution statements are:

**DISTRIBUTION STATEMENT A** (Used only on unclassified theses. This means your thesis has unlimited release to the web.)

Approved for public release; distribution is unlimited.

If Distribution Statement A is selected, the Department/Group Chairman must determine if the thesis meets any of the following criteria:

- a. Is, or has the potential to become, an item of national or international interest or has foreign policy or foreign relations implications.
- b. Concerns high level military, DoD or U.S. Government policy.
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